Outline

Readers-Writers Problem

- **Recall a `mutex` allows in only one thread**
- **But a data race occurs only if**
  - multiple threads access the same data, and
  - at least one of the accesses is a write
- **How to allow multiple readers *or* one single writer?**
  - Need lock that can be *shared* amongst concurrent readers
- **Can implement using other primitives (next slide)**
  - Keep integer `i` – # or readers or -1 if held by writer
  - Protect `i` with mutex
  - Sleep on condition variable when can't get lock

Implementing shared locks

```
struct sharedlk {
  int i;    /* # shared lockers, or -1 if exclusively locked */
  mutex_t m;
  cond_t c;
};

void AcquireExclusive (sharedlk *sl) {
  lock (sl->m);
  while (sl->i) { wait (sl->m, sl->c); }
  sl->i = -1;
  unlock (sl->m);
}

void AcquireShared (sharedlk *sl) {
  lock (sl->m);
  while (sl->i < 0) { wait (sl->m, sl->c); }
  sl->i++;
  unlock (sl->m);
}
```


shared locks (continued)

```
void ReleaseShared (sharedlk *sl) {
  lock (sl->m);
  if (!--sl->i) signal (sl->c);
  unlock (sl->m);
}

void ReleaseExclusive (sharedlk *sl) {
  lock (sl->m);
  sl->i = 0;
  broadcast (sl->c);
  unlock (sl->m);
}
```

- **Note: Must deal with starvation**

Review: Test-and-set spinlock

```
struct var {
  int lock;
  int val;
};

void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
    ;
  v->val++;
  v->lock = 0;
}

void atomic_dec (var *v) {
  while (test_and_set (&v->lock))
    ;
  v->val--;
  v->lock = 0;
}
```

- **Is this code correct without sequential consistency?**

Memory reordering danger

- **Suppose no sequential consistency & don't compensate**
- **Hardware could violate program order**

Program order on CPU #1	View on CPU #2
read/write: `v->lock = 1;`	`v->lock = 1;`
read: `register = v->val;`	
write: `v->val = register + 1;`	
write: `v->lock = 0;`	`v->lock = 0;`
	`/* danger */`
	`v->val = register + 1;`

- **If `atomic_inc` called at `/* danger */`, bad `val` ensues!**

Ordering requirements

```
void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
    ;
  v->val++;
  /* danger */
  v->lock = 0;
}
```

- **Must ensure all CPUs see the following:**
  1. `v->lock` was set *before* `v->val` was read and written
  2. `v->lock` was cleared *after* `v->val` was written
- **How does #1 get assured on x86?**
  - Recall `test_and_set` uses `xchgl %eax,(%edx)`
- **How to ensure #2 on x86?**

Ordering requirements

```
void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
    ;
  v->val++;
  /* danger */
  v->lock = 0;
}
```

- **Must ensure all CPUs see the following:**
  1. `v->lock` was set *before* `v->val` was read and written
  2. `v->lock` was cleared *after* `v->val` was written
- **How does #1 get assured on x86?**
  - Recall `test_and_set` uses `xchgl %eax,(%edx)`
  - `xchgl` instruction always "locked," ensuring barrier
- **How to ensure #2 on x86?**

Ordering requirements

```
void atomic_inc (var *v) {
  while (test_and_set (&v->lock))
    ;
  v->val++;
  asm volatile ("sfence" ::: "memory");
  v->lock = 0;
}
```

- **Must ensure all CPUs see the following:**
  1. `v->lock` was set *before* `v->val` was read and written
  2. `v->lock` was cleared *after* `v->val` was written
- **How does #1 get assured on x86?**
  - Recall `test_and_set` uses `xchgl %eax,(%edx)`
  - `xchgl` instruction always "locked," ensuring barrier
- **How to ensure #2 on x86?**
  - Might need fence instruction after, e.g., non-temporal stores

Correct spinlock on alpha

- `ldl_l` **– load locked**
  `stl_c` **– store conditional (sets reg to 0 if not atomic w.** `ldl_l`**)**

```
_test_and_set:
    ldq_l   v0, 0(a0)          # v0 = *lockp (LOCKED)
    bne     v0, 1f             # if (v0) return
    addq    zero, 1, v0        # v0 = 1
    stq_c   v0, 0(a0)          # *lockp = v0 (CONDITIONAL)
    beq     v0, _test_and_set # if (failed) try again
    mb
    addq    zero, zero, v0     # return 0
1:  ret     zero, (ra), 1
```

- **Note: Alpha memory consistency much weaker than x86**
- **Must insert** ***memory barrier*** **instruction,** `mb` **(like** `mfence`**)**
  - All processors will see that everything before `mb` in program order happened before everything after `mb` in program order

Memory barriers/fences

- **Must use memory barriers (a.k.a. fences) to preserve program order of memory accesses with respect to locks**
- **Many examples in this lecture assume S.C.**
  - Useful on non-S.C. hardware, but must add barriers
- **Dealing with memory consistency important**
  - See [Howells] for how Linux deals with memory consistency
  - C++ now exposes support for different memory orderings
- **Fortunately, consistency need not overly complicate code**
  - If you do locking right, only need to add a few barriers
  - Code will be easily portable to new CPUs

Outline

Cache coherence

- **Performance requires caches**
- **Sequential consistency requires cache coherence**
- **Barrier & atomic ops require cache coherence**
- **Bus-based approaches**
  - "Snoopy" protocols, each CPU listens to memory bus
  - Use write through and invalidate when you see a write
  - Or have ownership scheme, e.g., MESI (MESIF, MOESI, ...) bits
  - Bus-based schemes limit scalability
- **Cache-Only Memory Architecture (COMA)**
  - Each CPU has local RAM, treated as cache
  - Cache lines migrate around based on access
  - Data lives only in cache

cc-NUMA

- **Previous slide had *dance hall* architectures**
  - Any CPU can "dance with" any memory equally
- **An alternative: Non-Uniform Memory Access**
  - Each CPU has fast access to some "close" memory
  - Slower to access memory that is farther away
  - Use a directory to keep track of who is caching what
- **Originally for machines with many CPUs**
  - But AMD Opterons integrated mem. controller, essentially NUMA
  - Now intel CPUs are like this, too
- **cc-NUMA = cache-coherent NUMA**
  - Can also have non-cache-coherent NUMA, though uncommon
  - BBN Butterfly 1 has no cache at all
  - Cray T3D has local/global memory

NUMA and spinlocks

- **Test-and-set spinlock has several advantages**
  - Simple to implement and understand
  - One memory location for arbitrarily many CPUs
- **But also has disadvantages**
  - Lots of traffic over memory bus (especially when > 1 spinner)
  - Not necessarily fair (same CPU acquires lock many times)
  - Even less fair on a NUMA machine
  - Allegedly Google had fairness problems even on Opterons
- **Idea 1: Avoid spinlocks altogether**
- **Idea 2: Reduce bus traffic with better spinlocks**
  - Design lock that spins only on local memory
  - Also gives better fairness

Outline

Recall producer/consumer (lecture 3)

```
/* PRODUCER */
for (;;) {
  item *nextProduced
    = produce_item ();

  mutex_lock (&mutex);
  while (count == BUF_SIZE)
    cond_wait (&nonfull,
               &mutex);

  buffer [in] = nextProduced;
  in = (in + 1) % BUF_SIZE;
  count++;
  cond_signal (&nonempty);
  mutex_unlock (&mutex);
}
```

```
/* CONSUMER */
for (;;) {
  mutex_lock (&mutex);
  while (count == 0)
    cond_wait (&nonempty,
               &mutex);

  nextConsumed = buffer[out];
  out = (out + 1) % BUF_SIZE;
  count--;
  cond_signal (&nonfull);
  mutex_unlock (&mutex);

  consume_item (nextConsumed);
}
```


Eliminating locks

- **One use of locks is to coordinate multiple updates of single piece of state**
- **How to remove locks here?**
  - Factor state so that each variable only has a single writer
- **Producer/consumer example revisited**
  - Assume you have sequential consistency
  - Assume one producer, one consumer
  - Why do we need `count` variable, written by both?
    To detect buffer full/empty
  - Have producer write `in`, consumer write `out`
  - Use `in`/`out` to detect buffer state
  - But note next example busy-waits, which is less good

Lock-free producer/consumer

```
void producer (void *ignored) {
    for (;;) {
        item *nextProduced = produce_item ();
        while (((in + 1) % BUF_SIZE) == out)
            thread_yield ();
        buffer [in] = nextProduced;
        in = (in + 1) % BUF_SIZE;
    }
}

void consumer (void *ignored) {
    for (;;) {
        while (in == out)
            thread_yield ();
        nextConsumed = buffer[out];
        out = (out + 1) % BUF_SIZE;
        consume_item (nextConsumed);
    }
}
```

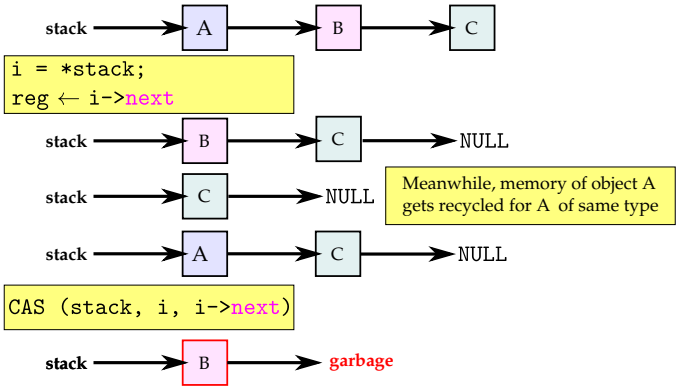

Non-blocking synchronization

- **Design algorithm to *avoid critical sections***
  - Any threads can make progress if other threads are preempted
  - Which wouldn't be the case if preempted thread held a lock
- **Requires atomic instructions available on many CPUs**
- **E.g., atomic compare and swap:** `CAS (mem, old, new)`
  - If `*mem == old`, then set `*mem = new` and return true, else false
- **Can implement many common data structures**
  - Stacks, queues, even hash tables
- **Can implement any algorithm on right hardware**
  - Need operation such as atomic compare and swap (has property called *consensus number* $= \infty$ [Herlihy])
  - Entire kernels have been written w/o locks [Greenwald]
  - C++ now facilitates non-blocking algorithms w. atomic library

Example: stack

```
struct item {
  /* data */
  struct item *next;
};
typedef struct item *stack_t;

void atomic_push (stack_t *stack, item *i) {
  do {
    i->next = *stack;
  } while (!CAS (stack, i->next, i));
}

item *atomic_pop (stack_t stack) {
  item *i;
  do {
    i = *stack;
  } while (!CAS (stack, i, i->next));
  return i;
}
```


Wait-free stack issues



- **"ABA" race in pop if other thread pops, re-pushes i**
  - Can be solved by counters or hazard pointers to delay re-use

Benign races

- **Can also eliminate locks by having race conditions**
- **Sometimes "cheating" buys efficiency...**
- **Care more about speed than accuracy**

```
hits++; /* each time someone accesses web site */
```

- **Know you can get away with race**

```
if (!initialized) {
  lock (m);
  if (!initialized) {
    initialize ();
    /* might need memory barrier here */
    initialized = 1;
  }
  unlock (m);
}
```


Read-copy update [McKenney]

- **Some data is read way more often than written**
- **Routing tables**
  - Consulted for each packet that is forwarded
- **Data maps in system with 100+ disks**
  - Updated when disk fails, maybe every 10^{10} operations
- **Optimize for the common case of reading w/o lock**
  - E.g., global variable: `routing_table *rt;`
  - Call `lookup (rt, route);` with no locking
- **Update by making copy, swapping pointer**
  - E.g., `routing_table *nrt = copy_routing_table (rt);`
  - Update `nrt`
  - Set global `rt = nrt` when done updating
  - All `lookup` calls see consistent old or new table

Garbage collection

- **When can you free memory of old routing table?**
  - When you are guaranteed no one is using it—how to determine
- **Definitions:**
  - *temporary variable* – short-used (e.g., local) variable
  - *permanent variable* – long lived data (e.g., global `rt` pointer)
  - *quiescent state* – when all a thread's temporary variables dead
  - *quiescent period* – time during which every thread has been in quiescent state at least once
- **Free old copy of updated data after quiescent period**
  - How to determine when quiescent period has gone by?
  - E.g., keep count of syscalls/context switches on each CPU
  - Can't hold a pointer across context switch or user mode (Preemptable kernel complicates things slightly)

Outline

MCS lock

- **Idea 2: Build a better spinlock**
- **Lock designed by Mellor-Crummey and Scott**
  - Goal: reduce bus traffic on cc machines, improve fairness
- **Each CPU has a `qnode` structure in local memory**

```
typedef struct qnode {
  struct qnode *next;
  bool locked;
} qnode;
```

  - Local can mean local memory in NUMA machine
  - Or just its own cache line that gets cached in exclusive mode
- **A lock is just a pointer to a `qnode`**

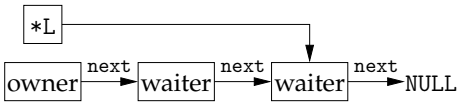
```
typedef qnode *lock;
```

- **Lock is list of CPUs holding or waiting for lock**
- **While waiting, spin on *your local* `locked` flag**

MCS Acquire

```
acquire (lock *L, qnode *I) {
  I->next = NULL;
  qnode *predecessor = I;
  XCHG (predecessor, *L); /* atomic swap */
  if (predecessor != NULL) {
    I->locked = true;
    predecessor->next = I;
    while (I->locked)
      ;
  }
}
```

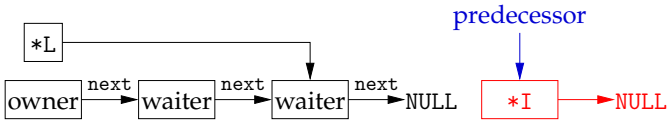
- **If unlocked, `L` is `NULL`**
- **If locked, no waiters, `L` is owner's `qnode`**
- **If waiters, `*L` is tail of waiter list:**



MCS Acquire

```
acquire (lock *L, qnode *I) {
  I->next = NULL;
  qnode *predecessor = I;
  XCHG (predecessor, *L); /* atomic swap */
  if (predecessor != NULL) {
    I->locked = true;
    predecessor->next = I;
    while (I->locked)
      ;
  }
}
```

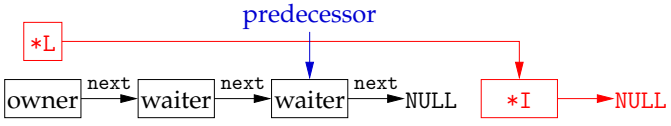
- **If unlocked, `L` is `NULL`**
- **If locked, no waiters, `L` is owner's `qnode`**
- **If waiters, `*L` is tail of waiter list:**



MCS Acquire

```
acquire (lock *L, qnode *I) {
  I->next = NULL;
  qnode *predecessor = I;
  XCHG (predecessor, *L); /* atomic swap */
  if (predecessor != NULL) {
    I->locked = true;
    predecessor->next = I;
    while (I->locked)
      ;
  }
}
```

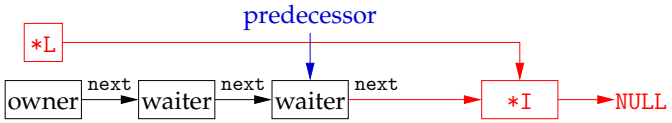
- **If unlocked, `L` is `NULL`**
- **If locked, no waiters, `L` is owner's `qnode`**
- **If waiters, `*L` is tail of waiter list:**



MCS Acquire

```
acquire (lock *L, qnode *I) {
  I->next = NULL;
  qnode *predecessor = I;
  XCHG (predecessor, *L); /* atomic swap */
  if (predecessor != NULL) {
    I->locked = true;
    predecessor->next = I;
    while (I->locked)
      ;
  }
}
```

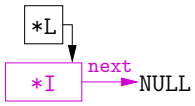
- **If unlocked,** `L` **is** `NULL`
- **If locked, no waiters,** `L` **is owner's** `qnode`
- **If waiters,** `*L` **is tail of waiter list:**



MCS Release with CAS

```
release (lock *L, qnode *I) {
  if (!I->next)
    if (CAS (*L, I, NULL))
      return;
  while (!I->next)
    ;
  I->next->locked = false;
}
```

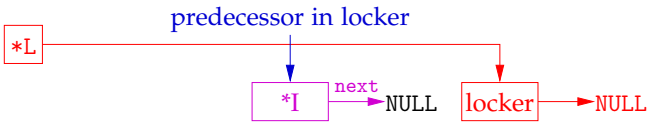
- **If** `I->next` **NULL and** `*L == I`
  - No one else is waiting for lock, OK to set `*L = NULL`



MCS Release with CAS

```
release (lock *L, qnode *I) {
  if (!I->next)
    if (CAS (*L, I, NULL))
      return;
  while (!I->next)
    ;
  I->next->locked = false;
}
```

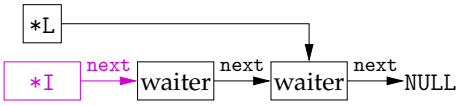
- **If** `I->next` **NULL and** `*L != I`
  - Another thread is in the middle of `acquire`
  - Just wait for `I->next` to be non-NULL



MCS Release with CAS

```
release (lock *L, qnode *I) {
  if (!I->next)
    if (CAS (*L, I, NULL))
      return;
  while (!I->next)
    ;
  I->next->locked = false;
}
```

- **If** `I->next` **is non-NULL**
  - `I->next` oldest waiter, wake up w. `I->next->locked = false`



MCS Release w/o CAS

- **What to do if no atomic compare & swap?**
- **Be optimistic—read** `*L` **w. two** `XCHG`**s:**
  1. Atomically swap NULL into `*L`
  - If old value of `*L` was `I`, no waiters and we are done
  2. Atomically swap old `*L` value back into `*L`
  - If `*L` unchanged, same effect as `CAS`
- **Otherwise, we have to clean up the mess**
  - Some "userper" attempted to acquire lock between **1** and **2**
  - Because `*L` was `NULL`, the userper succeeded (May be followed by zero or more waiters)
  - Stick old list of waiters on to end of new last waiter

MCS Release w/o C&S code

```
release (lock *L, qnode *I) {
  if (I->next)
    I->next->locked = false;
  else {
    qnode *old_tail = NULL;
    XCHG (*L, old_tail);
    if (old_tail == I)
      return;

    qnode *userper = old_tail;
    XCHG (*L, userper);
    while (I->next == NULL)
      ;
    if (userper != NULL) {
      /* Someone changed *L between 2 XCHGs */
      userper->next = I->next;
    }
    else
      I->next->locked = false;
  }
}
```

Outline

Kernel support for synchronization

- **Locks must interact with scheduler**
  - For processes or kernel threads, must go into kernel (expensive)
  - Common case is you can acquire lock—how to optimize?
- **Idea: only go into kernel if you can't get lock**

```
struct lock {
  int busy;
  thread *waiters;
};
void acquire (lock *lk) {
  while (test_and_set (&lk->busy)) {  /* 1 */
    atomic_push (&lk->waiters, self); /* 2 */
    sleep ();
  }
}
void release (lock *lk) {
  lk->busy = 0;
  wakeup (atomic_pop (&lk->waiters));
}
```


Race condition

- **Unfortunately, previous slide not safe**
  - What happens if release called between lines 1 and 2?
  - `wakeup` called on `NULL`, so `acquire` blocks
- ***futex* abstraction solves the problem [Franke]**
  - Ask kernel to sleep only if memory location hasn't changed
- `void futex (int *uaddr, FUTEX_WAIT, int val...);`
  - Go to sleep only if `*uaddr == val`
  - Extra arguments allow timeouts, etc.
- `void futex (int *uaddr, FUTEX_WAKE, int val...);`
  - Wake up at most `val` threads sleeping on `uaddr`
- **`uaddr` is translated down to offset in VM object**
  - So works on memory mapped file at different virtual addresses in different processes

Outline

The deadlock problem

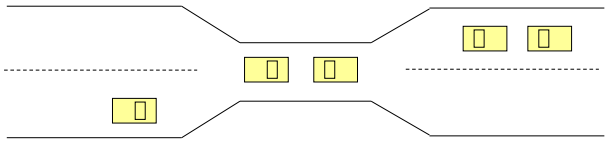
```
mutex_t m1, m2;

void p1 (void *ignored) {
  lock (m1);
  lock (m2);
  /* critical section */
  unlock (m2);
  unlock (m1);
}
void p2 (void *ignored) {
  lock (m2);
  lock (m1);
  /* critical section */
  unlock (m1);
  unlock (m2);
}
```

- **This program can cease to make progress – how?**
- **Can you have deadlock w/o mutexes?**

More deadlocks

- **Same problem with condition variables**
  - Suppose resource 1 managed by c_1, resource 2 by c_2
  - A has 1, waits on $c2$, B has 2, waits on $c1$
- **Or have combined mutex/condition variable deadlock:**
  - `lock (a); lock (b); while (!ready) wait (b, c); unlock (b); unlock (a);`
  - `lock (a); lock (b); ready = true; signal (c); unlock (b); unlock (a);`
- **One lesson: Dangerous to hold locks when crossing abstraction barriers!**
  - I.e., `lock (a)` then call function that uses condition variable

Deadlocks w/o computers



- **Real issue is *resources* & how required**
- **E.g., bridge only allows traffic in one direction**
  - Each section of a bridge can be viewed as a resource.
  - If a deadlock occurs, it can be resolved if one car backs up (preempt resources and rollback).
  - Several cars may have to be backed up if a deadlock occurs.
  - Starvation is possible.

Deadlock conditions

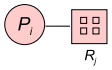
1. **Limited access (mutual exclusion):**
   - Resource can only be shared with finite users
2. **No preemption:**
   - Once resource granted, cannot be taken away
3. **Multiple independent requests (hold and wait):**
   - Don't ask all at once
     (wait for next resource while holding current one)
4. **Circularity in graph of requests**

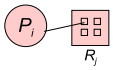
- **All of 1–4 necessary for deadlock to occur**
- **Two approaches to dealing with deadlock:**
  - Pro-active: prevention
  - Reactive: detection + corrective action

Prevent by eliminating one condition

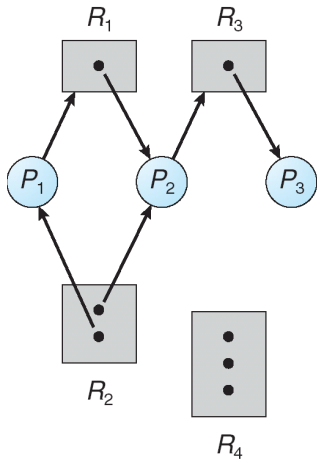
1. **Limited access (mutual exclusion):**
   - Buy more resources, split into pieces, or virtualize to make "infinite" copies
   - Threads: threads have copy of registers = no lock
2. **No preemption:**
   - Physical memory: virtualized with VM, can take physical page away and give to another process!
3. **Multiple independent requests (hold and wait):**
   - Wait on all resources at once (must know in advance)
4. **Circularity in graph of requests**
   - Single lock for entire system: (problems?)
   - Partial ordering of resources (next)

Resource-allocation graph

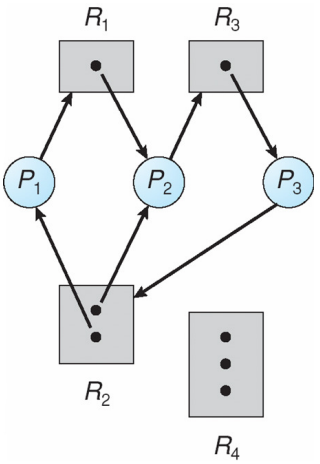
- **View system as graph**
  - Processes and Resources are nodes
  - Resource Requests and Assignments are edges
- **Process:** 
- **Resource w. 4 instances:** 
- P_i **requesting** R_j**:** 

- P_i **holding instance of** R_j**:** 

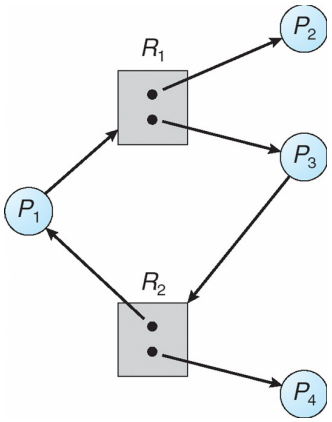
Example resource allocation graph



Graph with deadlock



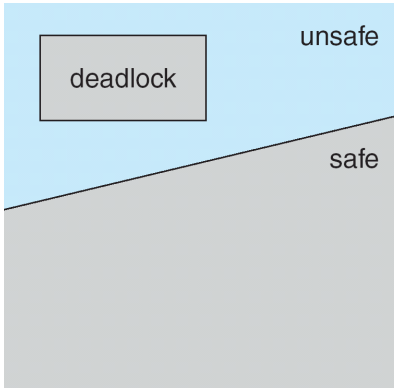
Is this deadlock?



Cycles and deadlock

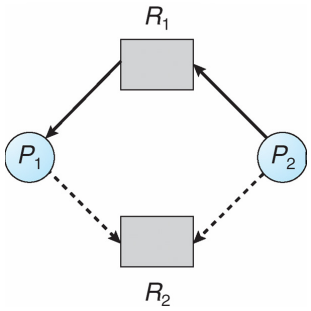
- **If graph has no cycles $\Longrightarrow$ no deadlock**
- **If graph contains a cycle**
  - Definitely deadlock if only one instance per resource
  - Otherwise, maybe deadlock, maybe not
- **Prevent deadlock w. partial order on resources**
  - E.g., always acquire mutex m_1 before m_2
  - Usually design locking discipline for application this way

Prevention



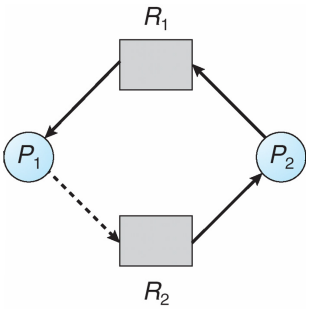
- **Determine safe states based on *possible* resource allocation**
- **Conservatively prohibits non-deadlocked states**

Claim edges



- **Dotted line is *claim edge***
  - Signifies process *may* request resource

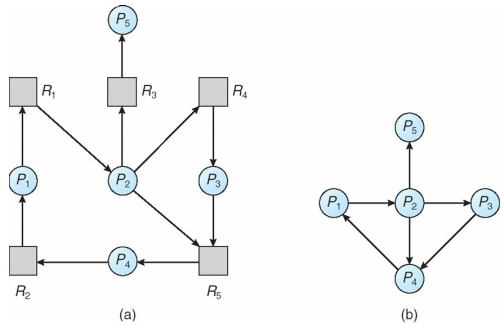
Example: unsafe state



- **Note cycle in graph**
  - P_1 might request R_2 before relinquishing R_1
  - Would cause deadlock

Detecting deadlock

- **Static approaches (hard)**
- **Program grinds to a halt**
- **Threads package can keep track of locks held:**



Resource-Allocation Graph Corresponding wait-for graph

Fixing & debugging deadlocks

- **Reboot system (windows approach)**
- **Examine hung process with debugger**
- **Threads package can deduce partial order**
  - For each lock acquired, order with other locks held
  - If cycle occurs, abort with error
  - Detects *potential* deadlocks even if they do not occur
- **Or use *transactions*...**
  - Another paradigm for handling concurrency
  - Often provided by databases, but some OSes use them
  - *Vino* OS used transactions to abort after failures [Seltzer]

Transactions

- **A *transaction* T is a collection of actions with**
  - *Atomicity* – all or none of actions happen
  - *Consistency* – T leaves data in valid state
  - *Isolation* – T's actions all appear to happen before or after every other transaction T'
  - *Durability** – T's effects will survive reboots
  - Often hear mnemonic *ACID* to refer to above
- **Transactions typically executed concurrently**
  - But *isolation* means must *appear* not to
  - Must roll-back transactions that use others' state
  - Means you have to record all changes to undo them
- **When deadlock detected just abort a transaction**
  - Breaks the dependency cycle

Transactional memory

- **Some modern processors support *transactional memory***
- **Transactional Synchronization Extensions (TSX) [intel1§15]**
  - `xbegin abort_handler` – begins a transaction
  - `xend` – commit a transaction
  - `xabort $code` – abort transaction with 8-bit code
  - Note: nested transactions okay (also `xtest` tests if in transaction)
- **During transaction, processor tracks accessed memory**
  - Keeps read-set and write-set of cache lines
  - Nothing gets written back to memory during transaction
  - On `xend` or earlier, transaction aborts if any conflicts
  - Otherwise, all dirty cache lines are written back atomically

Using transactional memory

- **Use to get "free" fine-grained locking on a hash table**
  - E.g., concurrent inserts that don't touch same buckets are okay
  - Hardware will detect there was no conflict
- **Use to poll for one of many asynchronous events**
  - Start transaction
  - Fill cache with values to which you want to see changes
  - Loop until a write causes your transaction to abort
- **Note: Transactions are never guaranteed to commit**
  - Might overflow cache, get false sharing, see weird processor issue
  - Means abort path must always be able to perform transaction (e.g., you do need a lock on your hash table)

Hardware lock elision (HLE)

- **Idea: have spinlocks that rarely need to spin**
  - Begin a transaction when you acquire lock
  - Other CPUs won't see lock acquired, can also enter critical section
  - Okay not to have mutual exclusion when no memory conflicts!
  - On conflict, abort and restart without transaction, thereby visibly acquiring lock (and aborting other concurrent transactions)
- **Intel support:**
  - Use `xacquire` prefix before `xchgl` (used for test and set)
  - Use `xrelease` prefix before `movl` that releases lock
  - Prefixes chosen to be noops on older CPUs (binary compatibility)
- **Hash table example:**
  - Use `xacquire xchgl` in table-wide test-and-set spinlock
  - Works correctly on older CPUs (with coarse-grained lock)
  - Allows safe concurrent accesses on newer CPUs!